



**PATENT**

Attorney Docket No.: 399429

Express Mail Label No.: EV 008782189 US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Joel Gummeson  
Serial No. 10/075,438  
Filed: February 14, 2002  
For: Waterfast Ink Jet Inks Containing A  
UV Curable Resin

Examiner: Not Yet Assigned  
Group Art Unit: 1712  
Confirmation No.: 8724

**BOX: MISSING PARTS**  
**Commissioner for Patents**  
**Washington, D.C. 20231**

**RESPONSE TO MISSING PARTS OF APPLICATION**

The following is being submitted in response to the Notice of Missing Parts Of  
Nonprovisional Application dated April 11, 2002.

1. Copy of Notice To File Missing Parts Of Nonprovisional Application
2. Declaration For Utility Or Design Patent Application
2. Assignment Cover Sheet
3. Assignment
4. Power of Attorney By Assignee Of Entire Interest & Certificate of Assignee  
Under 37 CFR 3.73(b)

---

**CERTIFICATE UNDER 37 C.F.R. § 1.8 and § 1.10**

I hereby certify that, on the date shown below, this correspondence is being

- ☒ deposited with the United States Postal Service in an envelope addressed to Box: Missing Parts, Commissioner for Patents,  
Washington, D.C. 20231 with sufficient postage:

**MAILING**


- ☐ 37 C.F.R. § 1.8  
as first class mail.

- ☒ 37 C.F.R. § 1.10  
as "Express Mail Post Office to Addressee"  
EXPRESS MAIL NO. EV008782189US

**FACSIMILE TRANSMISSION**

- ☐ transmitted by facsimile to the Patent and Trademark Office.

Wendy Precht  
Name of Depositor

  
Signature

June 11, 2002  
Date

**PATENT**

Attorney Docket No.: 399429

Express Mail Label No.: EV 008782189 US

5. Fee Transmittal For FY 2002

Also being filed herewith is the following:

6. Form 1449

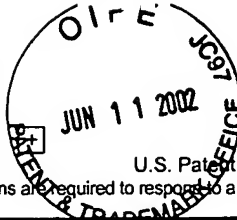
7. Copy of 29 Cited References

Applicant hereby authorizes the fees pursuant to 37 CFR 1.16, \$130.00, which would be due in connection with this late filing of the declaration to be applied against our Deposit Account No. 12-0600. Any additional fee which might be due in connection with this request should be applied against our Deposit Account No. 12-0600.

Respectfully submitted,

By Kenneth D. Goetz  
Kenneth D. Goetz, Reg. No. 32,696  
LATHROP & GAGE, L.C.  
2345 Grand Boulevard, Suite 2800  
Kansas City, Missouri 64108  
(816) 460-5849 (phone)  
(816) 292-2001 (fax)

Express Mail Label No.: EV 008782189 US  
Please type a plus sign (+) inside this box →



06-12-02 MPT/8  
PTO/SB/21 (08-00)  
Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/075,438
Filing Date	February 14, 2002
First Named Inventor	Joel J. Gummeson
Group Art Unit	1712
Examiner Name	Not Yet Assigned
Attorney Docket Number	399429

Total Number of Pages in This Submission

### ENCLOSURES (check all that apply)

☒ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Response

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☒ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☒ Response to Missing Parts/  
Incomplete Application

☒ Response to Missing  
Parts under 37 CFR  
1.52 or 1.53

☒ Assignment Papers  
(for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a  
Provisional Application

☒ Power of Attorney, Revocation  
Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) \_\_\_\_\_

☐ After Allowance Communication to  
Group

☐ Appeal Communication to Board of  
Appeals and Interferences

☐ Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s)  
(please identify below):

**Certificate of Assignee Under 37  
CFR 3.73(b); Copy of 29  
References; Certificate of  
Mailing & Return Post Card**

Remarks

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm  
or  
Individual name

Kenneth D. Goetz  
LATHROP & GAGE LC

Signature

*Kenneth D. Goetz*

Date

June 11, 2002

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as express mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: June 11, 2002

Typed or printed name

Wendy Precht

Signature

*Wendy Precht*

Date

June 11, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL**  
**for FY 2002**

Patent fees are subject to annual review.

☐ Applicant claims small entity status.**TOTAL AMOUNT OF PAYMENT** (\$)  
170**Complete if Known**

Application Number	10/075,438
Filing Date	February 14, 2002
First Named Inventor	Joel Gummesson
Examiner Name	Not Yet Assigned
Group / Art Unit	1712
Attorney Docket No.	399429

**METHOD OF PAYMENT (check one)**
☐ Check ☐ Credit card ☐ Money ☐ Other  
☒ Deposit Account
Deposit  
Account  
Number

12-0600

Deposit  
Account  
Name

LATHROP &amp; GAGE LC

The Commissioner is authorized to: (check all that apply)

☒ Charge fees indicated below ☒ Credit any overpayments  
☐ Charge Any Additional Fee Required during pendency of this application  
☐ Charge Fee(s) indicated below, except for the filing fee to the above-identified deposit account
**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

**SUBTOTAL (1)**(\$)  
0**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
	0		0
Independent Claims	0		0
Multiple Dependent			0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)**(\$)  
0

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

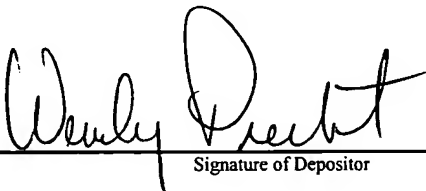
\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)**(\$)  
170**SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)	Kenneth D. Goertz	Registration No. Attorney/Agent)	32,696	Telephone	(816) 460-5849
Signature	<i>Kenneth D. Goertz</i>			Date	June 11, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b> Applicant(s): Joel J. Gummeson			Matter No.  399429
Serial No.  10/075,438	Filing Date  February 14, 2002	Examiner  Not Yet Assigned	Group Art Unit  1712
Invention      Waterfast Ink Jet Inks Containing A UV Curable Resin			
<p>             I hereby certify that this Transmittal Form (1 page); Response to Missing Parts of Application (2 pages); Copy of Notice To File Missing Parts Of Nonprovisional Application (1 page); Declaration For Utility Or Design Patent Application (2 pages); Recordation Form Cover Sheet (2 pages); Assignment (3 pages); Power of Attorney By Assignee Of Entire Interest And Certificate of Assignee Under 37 CFR 3.73(b) [including copy of Assignment] (6 pages); Fee Transmittal For FY 2002 (1 page in duplicate); Information Disclosure Statement By Applicant [Form 1449] (2 pages); Copy of 29 Cited References; authorization to charge Deposit Account No. 12-0600 in the amount of \$130.00 for the Late Filing of Declaration and \$40.00 For Filing the Assignment; authorization to charge additional fees that may be required, or credit any overpayment, to Deposit Account No. 12-0600; and return post card are being mailed in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington, D.C. 20231 on this 11th day of June, 2002.           </p>			
<div style="text-align: right;">             Wendy Precht              _____              Name of Depositor           </div>			
<div style="text-align: right;">               _____              Signature of Depositor           </div>			
<div style="text-align: right;">             EV 008782189 US              _____              Express Mail Label No.           </div>			

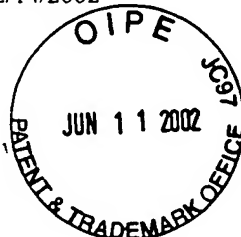


## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

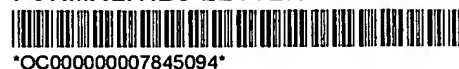
APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/075,438	02/14/2002	Joel J. Gummeson	399429

30954  
LATHROP & GAGE LC  
2345 GRAND AVENUE  
SUITE 2800  
KANSAS CITY, MO 64108



CONFIRMATION NO. 8724

## FORMALITIES LETTER



\*OC00000007845094\*

Date Mailed: 04/11/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/18/2002 MBERHE 00000053 120600 10075438

01 FC:105 130.00 CH